

**National Endowment for the Arts**  
**FY 2001 PERFORMANCE REPORT**  
**February 2003**

As required by the Government Performance and Results Act of 1993, the National Endowment for the Arts is pleased to submit its Annual Performance Report for Fiscal Year 2001. The report is based on and covers performance goals and indicators contained in the Performance Plan for FY 2001. The table that follows this narrative compares the Arts Endowment's current FY 2001 performance as of December 18, 2002, with the revised final projected levels of performance as presented with the Agency's FY 2003 Performance Plan.

**General Observations.** As discussed in the previous FY 2001 Performance Report, one must take three significant issues into account when assessing FY 2001 performance:

- **First, since applications for FY 2001 funds had not been fully acted upon by the time the Performance Plan for that year was initially submitted, we used available FY 1999 and FY 2000 data as a baseline for making projections.** As previously stated, FY 1999 projections were based on FY 1998 data. Since FY 1998 data was limited, those projections proved to be significantly smaller than actual results. Given that FY 2001 projections were originally based on FY 1999 data, it is clear why the results to date for FY 2001 are considerably above the projections. At that time, we also acknowledged that actual FY 2001 data would not be available until final reports on funded projects had been received, related information entered into our database, and those data assessed. As of December 18, 2002, approximately **72 percent of final reports for FY 2001 grants had been received**. We had originally anticipated that a minimum of 21 to 24 months would need to pass after the close of each fiscal year before sufficient information would be received to fully assess the year's accomplishments. December 18, 2002, marked 14 ½ months since the close of FY 2001; based on our experience, it is likely that we will have exceeded a 90 percent return rate, the level we currently estimate to be sufficient to make final assessments of a year's performance, when we submit our FY 2005 Performance Plan (in February 2004).
- **Second, since submission of the initial FY 2001 projections, we have improved our data collection and assessment performance.** When this effort began, our capacity to collect and report on that data was limited. Further, the information requested was limited and, as experience has shown, was not as clearly defined as originally thought. Since then, we have continued to modify our data collection forms to better define requested information, modified our automated Grants Management System to ensure that the data could be captured, and significantly expanded the ability to extract and report on that data. One of the significant changes made was to begin to collect performance data with applications beginning in FY 2001. In addition, we now update GPRA-related data during the revised project/budget process (an opportunity for applicants to revise their projects and budgets in response to a tentatively recommended award amount). As a result, the FY 2001 projections *reflect estimates contained in application forms, revised project/budget forms, and final reports submitted by grantees*.
- **Third, eligible applicants to the Arts Endowment have full discretion in choosing the funding area from which to seek support, and in determining the nature of their projects.** The Arts Endowment issues application guidelines that organizations use to submit requests for support. The guidelines identify areas of funding (e.g., Access to the Arts) that directly relate to each of our goals. The guidelines also broadly address the types of eligible projects (e.g.,

presentations, arts instruction, residencies,). Based on historical data, we estimate numbers of applications and types of projects or activities to be funded; however, it is not until the applications are received and reviewed that a clearer picture emerges. From year to year, applicant interests may change from one area to another or from one type of project to another, thus adding to the challenge of making reliable estimates. To a large extent then, adjustments in our projections reflect this external factor.

As noted above, initial FY 2001 performance estimates were extrapolated based on available FY 1999 and FY 2000 data. Nevertheless, our current performance figures are quite consistent with our revised final projections. We believe this reflects improvements in our data collection efforts.

The tables below present two sets of data for this FY 2001 Performance Report: revised final projections as presented with the FY 2003 Plan; and current performance now reported with the FY 2004 Plan.

<b>Goal 1: Access to the Arts</b>	Concerts/Readings/Performances	Residencies
Revised Final Projections	13,203	3,588
Current Performance-FY 04 Plan	13,467	3,667

<b>Goal 2: Creativity</b>	Artworks Created	Concerts/Readings/ Performances	Exhibitions	Residencies
Revised Final Projections	7,476	15,616	3,395	2,670
Current Performance-FY 04 Plan	6,064	14,341	3,214	1,914

<b>Goal 3: Arts Education</b>	Concerts/Readings/Performances	Residencies
Revised Final Projections	8,542	8,007
Current Performance-FY 04 Plan	8,095	8,088

<b>Goal 4: Heritage and Preservation</b>	Apprenticeships	Concerts/ Readings/ Performances	Conserve/ Repair/Restore and Identify/ Document	Residencies	National Heritage Fellows
Revised Final Projections	293	1,569	59,281	486	13
Current Performance-FY 04 Plan	287	1,635	54,460	270	13

**National Endowment for the Arts  
FY 2001 PERFORMANCE REPORT  
February 2003**

GOAL	FUNDING CATEGORY	AWARDS/FUNDS/ACTIVITY	FY 2001 Revised Final Projections Reported with FY 2003 Performance Plan			FY 2001 Current Performance with FY 2004 Performance Plan (Performance as of 12-18-02; 72% of Final Reports Received )			Difference		
			# of Awards	\$	Extent of Activity	# of Awards	\$	Extent of Activity	# of Awards	\$	Extent of Activity
			# of Awards	\$	Extent of Activity	# of Awards	\$	Extent of Activity	# of Awards	\$	Extent of Activity
<b>1. ACCESS: Broaden public access to the excellence and diversity of the arts.</b>	Competitive and Leadership	Number of awards and funds	318	\$ 8,845		318	\$ 8,845		0	\$ -	
		<i>Concerts/readings/performances</i>			13,203			13,467			264
		<i>School and other residencies</i>			3,588			3,667			79
		<i>Exhibitions</i>			245			254			9
		<i>Books &amp; catalogues</i>			165			163			-2
<b>2. CREATIVITY: Foster opportunities for the creation and presentation of artistically excellent work.</b>	Competitive and Leadership	Number of awards and funds	764	\$ 18,206		764	\$ 18,206		0	\$ -	
		<i>Artworks created</i>			7,476			6,064			(1,412)
		<i>Concerts/readings/performances</i>			15,616			14,341			(1,275)
		<i>Exhibitions</i>			3,395			3,214			(181)
		<i>Fellowships to writers</i>			40			40			0
		<i>School and other residencies</i>			2,670			1,914			(756)

Shaded areas include representative activity, not exclusive activity.  
Dollars rounded to nearest thousand.

**National Endowment for the Arts  
FY 2001 PERFORMANCE REPORT  
February 2003**

GOAL	FUNDING CATEGORY	AWARDS/FUNDS/ACTIVITY	FY 2001 Revised Final Projections Reported with FY 2003 Performance Plan			FY 2001 Current Performance with FY 2004 Performance Plan (Performance as of 12-18-02; 72% of Final Reports Received )			Difference		
			# of Awards	\$	Extent of Activity	# of Awards	\$	Extent of Activity	# of Awards	\$	Extent of Activity
<b>3. ARTS EDUCATION: Strengthen the role of the arts in our Nation's educational system and encourage lifelong learning in the arts.</b>	Competitive and Leadership	Number of awards and funds	273	\$ 7,723		273	\$ 7,723		\$ -	\$ -	
		<i>Concerts/readings/performances</i>			8,542		8,095				(447)
		<i>School and other residencies</i>			8,007		8,088				81
<b>4. PRESERVATION: Preserve our Nation's cultural heritage for the 21st century.</b>	Competitive and Leadership	Number of awards and funds	231	\$ 5,033		231	\$ 5,033		0	\$ -	
		<i>American Jazz Masters</i>			3		3				0
		<i>Apprenticeships</i>			293		287				(6)
		<i>Concerts/readings/performances</i>			1,569		1,635				66
		<i>Conserve, repair, restore</i>			59,281		45,037				(14,244)
		<i>Identify/document</i>					9,423				9423
		<i>National Heritage Fellowships</i>			13		13				0
		<i>School and other residencies</i>			486		270				(216)

Shaded areas include representative activity, not exclusive activity.  
Dollars rounded to nearest thousand.

**National Endowment for the Arts  
FY 2001 PERFORMANCE REPORT  
February 2003**

GOAL	FUNDING CATEGORY	AWARDS/FUNDS/ACTIVITY	FY 2001 Revised Final Projections Reported with FY 2003 Performance Plan			FY 2001 Current Performance with FY 2004 Performance Plan (Performance as of 12-18-02; 72% of Final Reports Received )			Difference		
			# of Awards	\$	Extent of Activity	# of Awards	\$	Extent of Activity	# of Awards	\$	Extent of Activity
<b>5. ORGANIZATIONAL STABILITY: Strengthen the organizational and financial capabilities of America's arts organizations.</b>	Competitive and Leadership	Number of awards and funds	97	\$ 6,358		97	\$ 6,358		0	\$ -	
<b>6. COMMUNITY ARTS DEVELOPMENT: Help address the concerns of America's communities through the arts.</b>	Competitive and Leadership	Number of awards and funds	12	\$ 990		12	\$ 990		0	\$ -	
		<i>Mayors at Inst for City Design</i>				60				48	(12)
	Challenge America	Number of awards and funds	364	\$ 4,105		364	\$ 4,105		0	\$ -	
		<i>Positive Alternatives for Youth: Creative Links</i>				198				198	0
		<i>Community Arts Development: ArtsREACH</i>				166				166	0
<b>7. PARTNERSHIPS: Strengthen the Endowment's partnerships with the public and private sectors.</b>	Competitive and Leadership	Number of awards and funds	22	\$ 907		22	\$ 907		0	\$ -	
		<i>Collaborate w/Federal partners Projects in different countries</i>				24				24	0
						30				30	0
<b>Totals</b>	Competitive and Leadership		<b>1,717</b>	<b>\$ 48,062</b>		<b>1,717</b>	<b>\$ 48,062</b>		<b>-</b>	<b>\$ -</b>	
<b>Totals</b>	Challenge America		<b>364</b>	<b>\$ 4,105</b>		<b>364</b>	<b>\$ 4,105</b>		<b>0</b>	<b>\$ -</b>	

Shaded areas include representative activity, not exclusive activity.  
Dollars rounded to nearest thousand.